



Receipt  
#3

PATENT

Attorney Docket No. A-63899-1/RFT/JJD

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

David J. ANDERSON, et al.

Serial No.: 08/719,571

Filing Date: September 25, 1996

For: *Methods and Compositions for Neural Progenitor Cells*

Group Art Unit: 1641

Examiner: J. GRUN, Ph.D.

CERTIFICATE OF MAILING

I hereby certify that this correspondence, including listed enclosures, is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Office of Initial Patent Examination, Customer Service Center, Washington, DC 20231 on:

Dated: October 11, 2001

Signed: Monica E. Carlos  
Monica E. Carlos

**REQUEST FOR CORRECTED FILING RECEIPT**

Assistant Commissioner for Patents  
Office of Initial Patent Examiner  
Customer Service Center  
Washington D.C. 20231

Sir:

Applicants request the Patent Office to make the following correction to the Official Filing Receipt:

In the Applicant(s) section, after "DAVID J. ANDERSON, ALTADENA, CA," please add --LI-CHING LO, ARCADIA, CA--.

A copy of the November 1, 1999 Second Petition to Correct Inventorship, together with a copy of the accompanying Declaration for Patent Application, Declaration of Li-Ching Lo, Assignee's Consent to Inventorship Correction Under 37 C.F.R. § 1.48(a) and return postcard (bearing PTO date stamp of November 1, 1999), are enclosed. Also enclosed is a copy of a communication received from the U.S. Patent and Trademark Office which accompanied the February 28, 2000 Office Action, indicating that, in view of the papers filed on November 1, 1999, the inventorship of this application has been corrected in compliance with 37 CFR 1.48(a).

**Serial No.:** 08/719,571  
**Filing Date:** September 25, 1996

Applicants enclose a copy of the Official Filing Receipt with the correction indicated in red.

Because this error was caused by the Patent Office, it is believed that no fee is necessary. However, if this belief is in error, the Commissioner is authorized to charge any additional fees, including extension fees, or credit any overpayment to Deposit Account No. 06-1300 (Our File A-63899-1/RFT/JJD).

Respectfully submitted,

FLEHR HOHBACH TEST  
ALBRITTON & HERBERT LLP

By: 

James J. Diehl, Reg. No. 47,527, for:  
Richard F. Trecartin, Reg. No. 31,801

Four Embarcadero Center - Suite 3400  
San Francisco, California 94111-4187  
(415) 781-1989  
1064805



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
08/719,571	09/25/1996	1641	664	A-63899-1	1	14	3

CONFIRMATION NO. 9615

## CORRECTED FILING RECEIPT



\*OC000000006790980\*

FLEHR HOHBACH TEST ALBRITTON & HERBERT  
FOUR EMBARCADERO CENTER  
SUITE 3400  
SAN FRANCISCO, CA 94114187



Date Mailed: 09/25/2001

Receipt is acknowledged of a CPA in this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

DAVID J. ANDERSON, ALTADENA, CA;

*Li-Ching Lo, Arcadia, CA*

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/025,579 09/06/1996

## Foreign Applications

If Required, Foreign Filing License Granted 09/25/1997

CPA filed on: 09/17/2001

Projected Publication Date: 01/03/2002

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

## Title

METHODS AND COMPOSITIONS FOR NEURAL PROGENITOR CELLS

## Preliminary Class

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



FLEHR HOHBACH TEST  
ALBRITTON & HERBERT LLP

File No. A-63899-1/RFT/DSS

Applicant: Anderson et al.  
Serial No.: 08/719,571  
For: METHODS AND COMPOSITIONS FOR NEURAL PROGENITOR CELLS

Please acknowledge receipt of the enclosed

- Continued Prosecution Application (CPA) Request Transmittal
- Petition for Extension of Time
- Preliminary Amendment
- Second Petition to Correct Inventorship
  - Declaration for Patent Application
  - Declaration of Li-Ching Lo
  - Assignee's Consent to Inventorship Correction
- Check # 26675 (\$1229)



by imprinting the Patent Office "date stamp" hereon and returning to the addressee indicated on the reverse.

Due: **June 30, 1999 (i.e. Oct. 30, 1999)**

Express Mail Certificate::**EL451337433US**



PATENT

Attorney Docket No.: A-63899-1/RFT/DSS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: )  
 )  
Anderson and Lo (as amended) )  
 )  
Serial No. 08/719,571 )  
 )  
Filed: September 25, 1996 )  
 )  
For: *Methods and Compositions for* )  
      *Neural Progenitor Cells* )  
\_\_\_\_\_ )

Examiner: J. Grun, Ph.D.  
Group Art Unit: 1641

"EXPRESS MAIL" MAILING LABEL

Number: EL451337433US Date of Deposit: November 1, 1999

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on November 1, 1999.

Typed or Printed Name: Michael Kemp

Signed: Michael Kemp

**SECOND PETITION TO CORRECT INVENTORSHIP**

Assistant Commissioner for Patents  
**BOX AF**  
Washington, DC 20231

Sir:

On May 27, 1999 Applicants submitted a Petition to Correct Inventorship. The petition was denied in a communication dated June 15, 1999 for the reason that the petition was not accompanied by an oath or declaration by the actual inventors (37 CFR §1.48(a)(2)). Applicants herewith submit this Second Petition to Correct Inventorship, together with a Declaration for Patent Application signed by the inventors, and hereby petition as follows:

Pursuant to 37 C.F.R. § 1.48(a), Applicants request that an additional inventor, Li-Ching Lo, be named in the above-referenced patent application. The error in inventorship occurred without deceptive intention on her part. The application was filed naming only inventor David J. Anderson.

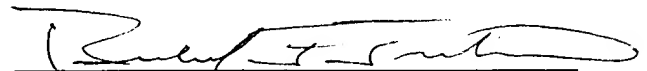
Included is a Declaration of Li-Ching Lo (a copy of the Declaration originally filed with Applicants' first Petition to Correct Inventorship), attesting to the facts surrounding the correction of inventorship, and that the inventorship error occurred without any deceptive intent on the part of either inventor. Also included is Assignee's Consent to Inventorship Correction (a copy of the Consent originally filed with Applicants' first Petition to Correct Inventorship).

Enclosed is our check in the amount of \$130 for the petition fee. The Commissioner is authorized to charge any additions fees, including extension fees or other relief which may be required or credit any overpayment to Deposit Account No. 06-1300 (our Order No. A-63899-1/RFT/DSS).

Respectfully submitted,

FLEHR HOHBACH TEST  
ALBRITTON & HERBERT LLP

By



Richard F. Trecartin  
Reg. No. 31, 801  
Attorneys for Applicants

Suite 3400  
Four Embarcadero Center  
San Francisco, CA 94111-4187  
Telephone: (415) 781-1989

# DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

METHODS AND COMPOSITIONS FOR NEURAL PROGENITOR CELLS

the specification of which

(check ☐ is attached hereto.  
one) -

☒ was filed on 9/25/96  
Application Serial No. 08/719,571  
and was amended on \_\_\_\_\_  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>60/025,579</u> (Application Serial No.)	<u>9/9/96</u> (Filing Date)	<u>Pending</u> (Status) (patented, pending, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)

DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION





Direct all telephone calls to Richard F. Trecartin at (415) 1989.

Address all correspondence to:

FLEHR, HOHBACH, TEST,  
ALBRITTON & HERBERT  
Suite 3400, Four Embarcadero Center  
San Francisco, California 94111

File No. A-63899-1/RFT/RMS

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or  
first inventor:

David J. Anderson

Inventor's signature:

*David J. Anderson* ✓

Date:

7/13/99 ✓

Residence:

Altadena, California

Citizenship:

US

Post Office Address:

2108 Glenview Terrace, Altadena, CA 91001

Full name of second joint  
inventor, if any:

Li-Ching Lo

Inventor's signature:

Date:

Residence:

Arcadia, California

Citizenship:

Post Office Address:

525 W. Las Tunas Drive, Arcadia, CA 91006

Full name of third joint  
inventor, if any:

Inventor's signature:

Date:

Residence:

Citizenship:

Post Office Address:

Direct all telephone calls to Richard F. Trecartin at (415) . 1989.

Address all correspondence to:

FLEHR, HOHBACH, TEST,  
ALBRITTON & HERBERT  
Suite 3400, Four Embarcadero Center  
San Francisco, California 94111

File No. A-63899-1/RFT/RMS

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or  
first inventor:

David J. Anderson

Inventor's signature:

Date:

Residence:

Altadena, California

Citizenship:

US

Post Office Address:

2108 Glenview Terrace, Altadena, CA 91001

Full name of second joint  
inventor, if any:

Li-Ching Lo

Inventor's signature:

Li-Ching Lo

Date:

7-19-99 ✓

Residence:

Arcadia, California

Citizenship:

U. S. ✓

Post Office Address:

525 W. Las Tunas Drive, Arcadia, CA 91006

Full name of third joint  
inventor, if any:

Inventor's signature:

Date:

Residence:

Citizenship:

Post Office Address:

614065



PATENT

Attorney Docket No. A-63899-1/RFT/DSS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	)	Examiner: J. Grun, Ph.D.
	)	
Anderson and Lo (as amended)	)	Group Art Unit: 1641
	)	
Serial No. 08/719,571	)	San Francisco, California
	)	
Filed: September 25, 1996	)	
	)	
For: <i>Methods and Compositions for Neural</i>	)	
<i>Progenitor Cells</i>	)	
_____	)	

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence, including listed enclosures, is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, BOX AF, Washington, DC 20231

on May 27, 1999  
Signed: Wendy Wilson  
Maria Cigonovich

**DECLARATION OF LI-CHING LO**

Assistant Commissioner for Patents  
**BOX AF**  
Washington, DC 20231

Sir:

I, LI-CHING LO, do hereby declare that:

1. I am a Research Technician III in the Department of Biology at The Howard Hughes Medical Institute at the California Institute of Technology.
2. The error of inventorship occurred without deceptive intention on my part.
4. All statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these

Serial No. 08/719,571  
page 2

statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any registration issued thereon.

By: Li-Ching Lo  
Li-Ching Lo, M.S.

Dated: 5-10-99

614065



PATENT  
Attorney Docket No.: A-63889-1/RFT/DSS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	)	Examiner: J. Grun, Ph.D.
	)	
Anderson and Lo (as amended)	)	Group Art Unit: 1641
	)	
Serial No. 08/719,571	)	
	)	
Filed: September 25, 1996	)	
	)	
For: <i>Methods and Compositions for</i>	)	
<i>Neural Progenitor Cells</i>	)	
_____	)	

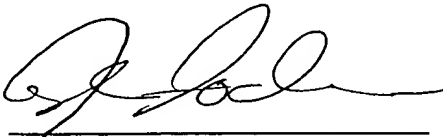
**ASSIGNEE'S CONSENT TO INVENTORSHIP  
CORRECTION UNDER 37 C.F.R. § 1.48(a)**

Assistant Commissioner of Patents  
BOX AF  
Washington, DC 20231

Sir:

California Institute of Technology is assignee of the captioned application as evidenced by the assignment recorded in the Patent Office at reel no. 8380, frame no. 0396. California Institute of Technology consents to the Petition to Correct Inventorship filed herewith to add Liching Lo as a co-inventor of this application. The undersigned is authorized to act on behalf of California Institute of Technology.

Date: May 13, 1999

By: 

Adam Cochran, Esq.  
The Intellectual Property Counsel



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
-----------------	-------------	----------------------	---------------------

157,119,511 09/26/96 ANDERSON D A-63899-1

HE 2270225  
FLEHR HOMBAUGH (P) 317 012110N & HFFHETI  
FOUR EMBARCADERO CLATER  
SUITE 3400  
SAN FRANCISCO CA 94111-4187

EXAMINER

GRUN, J

ART UNIT

PAPER NUMBER

1001

DATE MAILED:

02/27/00

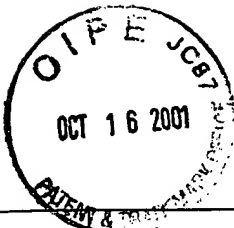
Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

File A-63899-1 Atty RFT, DSS

Due Date 5/28/2000

Type 3mo Resp Refs 2



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

SERIAL NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO.

EXAMINER	
ART UNIT	PAPER NUMBER
	19

DATE MAILED:

Please find below a communication from the EXAMINER in charge of this application  
Commissioner of Patents

In view of the papers filed 01 November 1999, it has been found that this nonprovisional application, as filed, through error and without deceptive intent, improperly set forth the inventorship, and accordingly, this application has been corrected in compliance with 37 CFR 1.48(a). The inventorship of this application has been changed by the addition of "Li-Ching Lo, Arcadia, CA."

The application will be forwarded to the Office of Initial Patent Examination (OIPE) for issuance of a corrected filing receipt, and correction of the file jacket and PTO PALM data to reflect the inventorship as corrected.

Any inquiry concerning this communication should be directed to Examiner James Grun, Ph.D., Technology Center 1600, Group 1640, Art Unit 1641, whose telephone number is (703) 308-3980. If unable to reach the examiner, James C. Housel, SPE, can be contacted at (703) 308-4027.

Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703) 308-0196.

James L. Grun, Ph.D.  
February 25, 2000

*James C. Housel*  
2/26/00

JAMES C. HOUSEL  
JUNIOR PATENT EXAMINER